



## UNITED STATES PATENT AND TRADEMARK OFFICE

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WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
09/809,025	03/16/2001	Jeffrey Lange	26859.102US01

CONFIRMATION NO. 5585



\*OC000000006322683\*

26853  
COVINGTON & BURLING  
ATTN: PATENT DOCKETING  
1201 PENNSYLVANIA AVENUE, N.W.  
WASHINGTON, DC 20004-2401

RECEIVED  
OCT 23 2001  
Technology Center 2100

Date Mailed: 07/20/2001

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TC 2600 MAIL ROOM

## RESPONSE TO REQUEST CORRECTED FILING RECEIPT

## Application Filing Date

In response to your request for a corrected Filing Receipt, the Office is unable to comply with your request because:

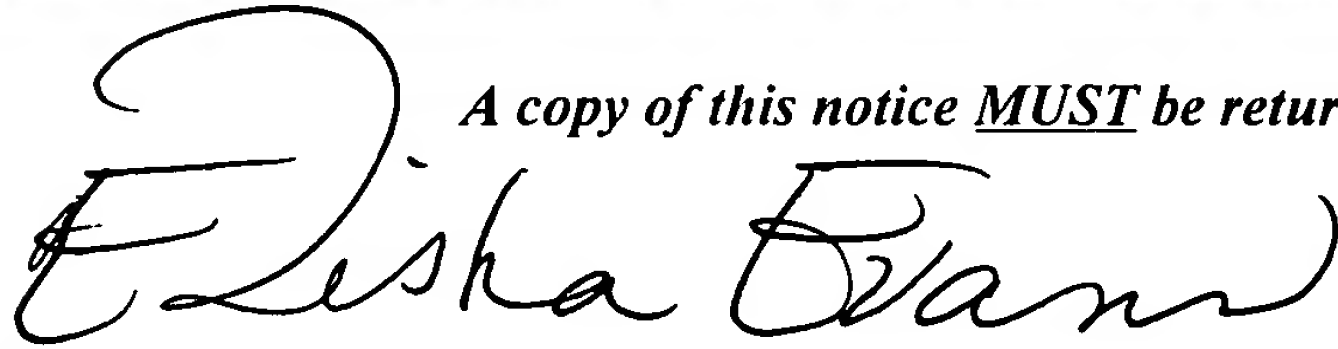
- ☐ The correct application number appears on the Filing Receipt. Your postcard included an incorrect application number. Please update your records to reflect the application number on the enclosed Filing Receipt. See MPEP 503.
- ☐ If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, a request for a corrected Filing Receipt should be submitted along with a copy of the Express Mail label showing the "date in."
- ☐ A copy of the Express Mail label was not enclosed with your request. Please resubmit.
- ☐ The date on the Express Mail label is the date given on the Filing Receipt.
- ☐ The filing date accorded to the application is the date the application met the filing date requirement of 37 CFR 1.53(b) or (c).
- ☒ Filing date of a parent application cannot be changed by this request. A request for corrected Filing Receipt must be directed to such parent application.
- ☐ Applications submitted under 37 CFR 1.8 are accorded a filing date as of the date the application is received in the Patent and Trademark Office.
- ☐ The filing date on your return postcard is the same as the date on your Filing Receipt.

- ☐ A petition under 37 CFR 1.10 or 1.53 is needed to correct the filing date. The petition should be directed to the attention of the Office of Petitions

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

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 A copy of this notice **MUST** be returned with the reply.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

**FILE COPY**

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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Bib Data Sheet

CONFIRMATION NO. 5585

<b>SERIAL NUMBER</b> 09/809,025	<b>FILING DATE</b> 03/16/2001 <b>RULE</b>	<b>CLASS</b> 438	<b>GROUP ART UNIT</b> 2812	<b>ATTORNEY DOCKET NO.</b> 26859.102US01
<b>APPLICANTS</b> Jeffrey Lange, New York, NY;				
<b>** CONTINUING DATA *****</b> THIS APPLICATION IS A CIP OF 09/744,816 04/03/2001 * WHICH IS A CIP OF 09/448,822 11/24/1999 WHICH CLAIMS BENEFIT OF 60/144,890 07/21/1999 (*) Data inconsistent with PTO records.				
<b>** FOREIGN APPLICATIONS *****</b> PCT/US00/19447 07/18/2000				
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED</b> <b>** 05/21/2001</b>				
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance Verified and Acknowledged _____ Examiner's Signature Initials		<b>STATE OR COUNTRY</b> NY	<b>SHEETS DRAWING</b> 18	<b>TOTAL CLAIMS</b> 22
<b>INDEPENDENT CLAIMS</b> 18				
<b>ADDRESS</b> 26853				
<b>TITLE</b> Digital options having demand-based, adjustable returns, and trading exchange therefor				
<b>FILING FEE RECEIVED</b> 2076	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit	

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 OCT 23 2001  
 Technology Center 2100

Date: June 25, 2001 Atty Docket No. 2659.102-US01

Inventor: Jeffrey R. Lange

Application No.: 09/809,025

Filing Date: March 16, 2001

Title: DIGITAL OPTIONS HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND  
TRADING EXCHANGE THEREFOR

## Documents Filed:

Transmittal Letter (in duplicate);

Response to Notice to File Missing Parts of Application (in duplicate);

Copy of the Notice to File Missing Parts of Nonprovisional Application;

Replacement Patent Application Initial Information Data Sheet;

Fee Transmittal;

Declaration for Patent Application;

Power of Attorney from Assignee;

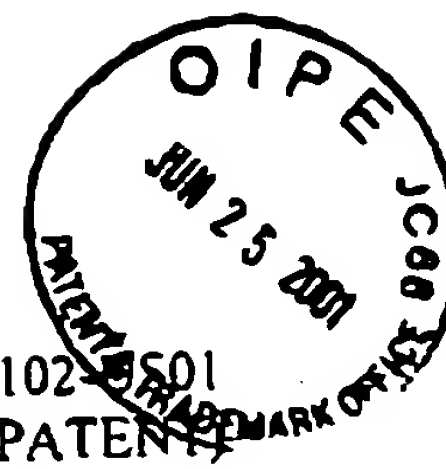
Certificate Under 37 C.F.R. § 3.73(b);

Preliminary Amendment;

Request for Corrected Filing Receipt and a marked-up copy of the original Filing Receipt;

Check No. 281223 for \$2,076 for \$710 basic filing fee; \$1,236 additional claims fee; and \$130 surcharge for late  
filing of Declaration; and

Return receipt postcard.

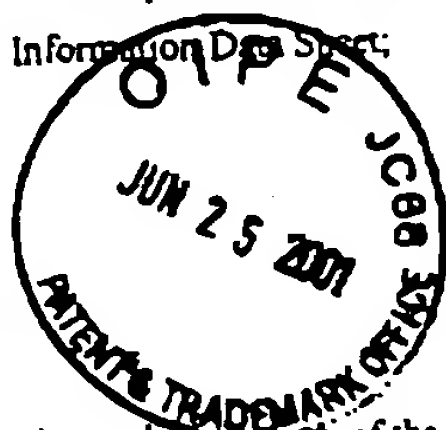
2659.102-US01  
(PATENT)

FFICE

STAMP AND RETURN

2812

et Assigned

TRANSMITTAL LETTERCommissioner for Patents  
Washington, DC 20231

Dear Sir:

Enclosed are the following items for filing in connection with the above-  
referenced Patent Application:

1. Response to Notice to File Missing Parts of Application (in duplicate);
2. Copy of the Notice to File Missing Parts of Nonprovisional Application;
3. Replacement Patent Application Initial Information Data Sheet;
4. Fee Transmittal;
5. Declaration for Patent Application;
6. Power of Attorney from Assignee;
7. Certificate Under 37 C.F.R. 3.73(b);
8. Preliminary Amendment;
9. Request for Corrected Official Filing Receipt;

STAMP AND RETURN

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AUG 13 2001  
TC 2300 MAIL ROOM

Docket No.: 026859.102-US01  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Jeffrey R. Lange

Application No.: 09/809,025

Group Art Unit: 2812

Filed: March 16, 2001

Examiner: Not Yet Assigned

For: DIGITAL OPTIONS HAVING DEMAND-  
BASED, ADJUSTABLE RETURNS, AND  
TRADING EXCHANGE THEREFOR

**TRANSMITTAL LETTER**

Commissioner for Patents  
Washington, DC 20231

Dear Sir:

Enclosed are the following items for filing in connection with the above-referenced Patent Application:

1. Response to Notice to File Missing Parts of Application (in duplicate);
2. Copy of the Notice to File Missing Parts of Nonprovisional Application;
3. Replacement Patent Application Initial Information Data Sheet;
4. Fee Transmittal;
5. Declaration for Patent Application;
6. Power of Attorney from Assignee;
7. Certificate Under 37 C.F.R. 3.73(b);
8. Preliminary Amendment;
9. Request for Corrected Official Filing Receipt;

Application No. 09/809,025

2

Docket No. 026859.102-US01

10. Marked-up copy of original Official Filing Receipt;
11. Check No. 281223 for \$2,076 to cover: \$710 basic filing fee; \$1,236 additional claims fee; and \$130 surcharge for late filing of Declaration; and
12. Return receipt postcard.

The Commissioner is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 50-0740, under Docket No. 026859.102-US01. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present application, then such extensions of time are hereby petitioned, and any fees therefore are hereby authorized to be charged to our Deposit Account 50-0740, referencing Docket No. 026859-102-US01. A duplicate copy of this paper is enclosed.

Dated: June 25, 2001

Respectfully submitted,

By 

Paul J. Berman

Registration No.: 36,744  
COVINGTON & BURLING  
1201 Pennsylvania Avenue, N.W.  
Washington, DC 20004-2401  
(202) 662-6000  
Attorneys for Applicant

## COVINGTON &amp; BURLING

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OCT 23 2001

Technology Center 2100

TOTAL PAGES W/COVER

8

DATE

July 19, 2001

FROM	EMAIL	FAX	TEL
Paul J. Berman	pberman@cov.com	202/662-6291	202/662-5468
TO		FAX	TEL
Ms. Elisha Evans PTO		703/308-7751	703/308-1202

REMARKS

THIS FACSIMILE TRANSMISSION IS INTENDED ONLY FOR THE ADDRESSEE SHOWN ABOVE. IT MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL OR OTHERWISE PROTECTED FROM DISCLOSURE. ANY REVIEW, DISSEMINATION OR USE OF THIS TRANSMISSION OR ITS CONTENTS BY PERSONS OTHER THAN THE ADDRESSEE IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS TRANSMISSION IN ERROR, PLEASE NOTIFY US IMMEDIATELY AND MAIL THE ORIGINAL TO US AT THE ABOVE ADDRESS.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Jeffrey R. Lange

Appl. No. 09/809,025

Filed: March 16, 2001

For: DIGITAL OPTIONS HAVING  
DEMAND-BASED,  
ADJUSTABLE RETURNS AND  
TRADING EXCHANGE  
THEREFOR

Art Unit: 2812

Examiner: Unassigned

Atty. Docket: 026859.102-US01

**Request for Corrected Official Filing Receipt**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicant hereby requests that a corrected Official Filing Receipt be issued and sent to the undersigned representative. Specifically, the following corrections to the Official Filing Receipt are requested:

**Under the heading of Domestic Priority data as claimed by applicant, please amend the first priority application number to read as follows:**

**THIS APPLICATION IS A CIP OF 09/744,816, 07/18/2000.**

In support of the above request, a photocopy of the instant Official Filing Receipt is enclosed with the corrections noted in red. It is therefore believed proper that a corrected Official Filing Receipt be issued, reflecting the correction of all the above-noted error. It is further requested that the corrected Official Filing Receipt be sent to the undersigned at the earliest possible time.



Application No. 09/809,025

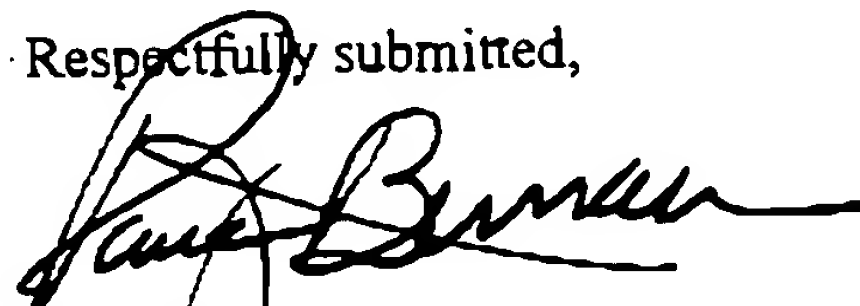
2

Docket No. 026859.102-US01

The U.S. Patent and Trademark Office is hereby authorized to charge the fee for correction, any fee deficiency, or credit any overpayment, to **Deposit Account No. 50-0740**, referencing docket number **026859.102-US01**.

Date: June 25, 2001

Respectfully submitted,



Paul J. Berman  
Reg. No. 36,744

COVINGTON & BURLING  
1201 Pennsylvania Avenue, N.W.  
Washington, D.C. 20004-2401  
(202) 662-6000

Enclosure



# UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE RECD	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/809,025	03/16/2001	2812	0.00	26859.102US01	18	22	18

CONFIRMATION NO. 5585

26853  
COVINGTON & BURLING  
ATTN: PATENT DOCKETING  
1201 PENNSYLVANIA AVENUE, N.W.  
WASHINGTON, DC 20004-2401

## FILING RECEIPT



\*0000000006104721\*

Date Mailed: 05/22/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

### Applicant(s)

Jeffrey Lange, New York, NY;

### Domestic Priority data as claimed by applicant

09/744,816 07/13/2000  
THIS APPLICATION IS A CIP OF 09/744,816 07/13/2000  
WHICH IS A CIP OF 09/448,822 11/24/1999  
WHICH CLAIMS BENEFIT OF 60/144,890 07/21/1999  
(\*) Data inconsistent with PTO records.

### Foreign Applications

PCT/US00/19447 07/18/2000

If Required, Foreign Filing License Granted 05/21/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

### Title

Digital options having demand-based, adjustable returns, and trading exchange therefor

438

**Date: 05/22/2001**

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 138 139 140 141 142 143 144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168 169 170 171 172 173 174 175 176 177 178 179 180 181 182 183 184 185 186 187 188 189 190 191 192 193 194 195 196 197 198 199 200 201 202 203 204 205 206 207 208 209 210 211 212 213 214 215 216 217 218 219 220 221 222 223 224 225 226 227 228 229 230 231 232 233 234 235 236 237 238 239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259 260 261 262 263 264 265 266 267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282 283 284 285 286 287 288 289 290 291 292 293 294 295 296 297 298 299 300 301 302 303 304 305 306 307 308 309 310 311 312 313 314 315 316 317 318 319 320 321 322 323 324 325 326 327 328 329 330 331 332 333 334 335 336 337 338 339 340 341 342 343 344 345 346 347 348 349 350 351 352 353 354 355 356 357 358 359 360 361 362 363 364 365 366 367 368 369 370 371 372 373 374 375 376 377 378 379 380 381 382 383 384 385 386 387 388 389 390 391 392 393 394 395 396 397 398 399 400 401 402 403 404 405 406 407 408 409 410 411 412 413 414 415 416 417 418 419 420 421 422 423 424 425 426 427 428 429 430 431 432 433 434 435 436 437 438 439 440 441 442 443 444 445 446 447 448 449 450 451 452 453 454 455 456 457 458 459 460 461 462 463 464 465 466 467 468 469 470 471 472 473 474 475 476 477 478 479 480 481 482 483 484 485 486 487 488 489 490 491 492 493 494 495 496 497 498 499 500 501 502 503 504 505 506 507 508 509 510 511 512 513 514 515 516 517 518 519 520 521 522 523 524 525 526 527 528 529 530 531 532 533 534 535 536 537 538 539 540 541 542 543 544 545 546 547 548 549 550 551 552 553 554 555 556 557 558 559 560 561 562 563 564 565 566 567 568 569 570 571 572 573 574 575 576 577 578 579 580 581 582 583 584 585 586 587 588 589 590 591 592 593 594 595 596 597 598 599 600 601 602 603 604 605 606 607 608 609 610 611 612 613 614 615 616 617 618 619 620 621 622 623 624 625 626 627 628 629 630 631 632 633 634 635 636 637 638 639 640 641 642 643 644 645 646 647 648 649 650 651 652 653 654 655 656 657 658 659 660 661 662 663 664 665 666 667 668 669 670 671 672 673 674 675 676 677 678 679 680 681 682 683 684 685 686 687 688 689 690 691 692 693 694 695 696 697 698 699 700 701 702 703 704 705 706 707 708 709 710 711 712 713 714 715 716 717 718 719 720 721 722 723 724 725 726 727 728 729 730 731 732 733 734 735 736 737 738 739 740 741 742 743 744 745 746 747 748 749 750 751 752 753 754 755 756 757 758 759 760 761 762 763 764 765 766 767 768 769 770 771 772 773 774 775 776 777 778 779 780 781 782 783 784 785 786 787 788 789 790 791 792 793 794 795 796 797 798 799 800 801 802 803 804 805 806 807 808 809 810 811 812 813 814 815 816 817 818 819 820 821 822 823 824 825 826 827 828 829 830 831 832 833 834 835 836 837 838 839 840 841 842 843 844 845 846 847 848 849 850 851 852 853 854 855 856 857 858 859 860 861 862 863 864 865 866 867 868 869 870 871 872 873 874 875 876 877 878 879 880 881 882 883 884 885 886 887 888 889 890 891 892 893 894 895 896 897 898 899 900 901 902 903 904 905 906 907 908 909 910 911 912 913 914 915 916 917 918 919 920 921 922 923 924 925 926 927 928 929 930 931 932 933 934 935 936 937 938 939 940 941 942 943 944 945 946 947 948 949 950 951 952 953 954 955 956 957 958 959 960 961 962 963 964 965 966 967 968 969 970 971 972 973 974 975 976 977 978 979 980 981 982 983 984 985 986 987 988 989 990 991 992 993 994 995 996 997 998 999 1000 1001 1002 1003 1004 1005 1006 1007 1008 1009 1010 1011 1012 1013 1014 1015 1016 1017 1018 1019 1020 1021 1022 1023 1024 1025 1026 1027 1028 1029 1030 1031 1032 1033 1034 1035 1036 1037 1038 1039 1040 1